

INSTRUCTIONS
2001-02 EMPLOYEE RATIO
SUMMARY CERTIFICATION DOCUMENT
(Report Form R-2)

General Instructions

1. Form R-2 is to be utilized to summarize and certify staffing data for the purpose of monitoring the administrator-teacher ratio for the 2001-02 fiscal year as required by *Education Code* sections 41400-41407. Penalties, if any, mandated by *Education Code* Section 41404 will be based on this information.
2. All school districts must complete this document and return it to their county superintendent of schools no later than January 18, 2002. The county superintendent will then forward the report to the California Department of Education, School Fiscal Services Division, 560 J Street, Suite 150, Sacramento, CA, 95814-2333. Common administered districts complying with provisions of *Education Code* Section 35111 will submit a Form R-2 for each district. The Department will combine the information using the unified school district ratio to assess compliance with *Education Code* Section 41402.

Note: Although exempt from any penalties resulting from the application of *Education Code* Section 41404, school districts with one or fewer administrative full-time equivalent (FTE) employees must complete a Form R-2.

3. With the exception of those employees on unpaid leave, all employees on the district payroll as of October 3, 2001, in positions requiring certification qualifications should be included in the reported FTE calculated to two decimal places. This includes employees in adult education, continuation, child development, and regional occupational programs. The FTE should include full-time, part-time, and prorated portions of employee time. Do not include the FTE of employees in positions requiring childcare permits. Certification qualifications cannot be construed to include childcare permits. Do not include substitutes for employees on paid leave unless the employee for whom they are substituting is not counted.

Note: The FTE for hourly employees in the adult education program may be determined by dividing the total hours logged by such employees in the 2000-01 fiscal year by the annual number of hours of service required in the district for full-time status as an adult education teacher.

4. Report employees according to duties performed. Prorate employees performing multiple functions between employee categories as appropriate.
5. Each employee class may have a different number of hours designated as full-time (30 hours per week is the minimum acceptable for this report). As a result, employees should be judged within their own category for purposes of establishing an FTE. Divide the hours worked per week by the full-time norm expected for the job classification.

Note: Please see note following instruction number 3, above for calculation of adult education FTE.

6. No individual may be counted as more than one full-time equivalent employee unless the individual is employed on a part-time basis in adult education, driver education (including driver training), vocational education, or any part-time or additional teaching assignment (excluding summer session/intersession) in addition to his or her regular full-time assignment.
7. Enclosed please find a supplement to these instructions, which presents hypothetical employees and discusses their classification with respect to the administrator-teacher ratio definitions.

Specific Instructions

Part I. Number Of Certificated Employees (Definitions from *Education Code* Section 41401)

- A. Administrative - Enter the FTE of a district employee for the amount of time the employee is in a position requiring certification but is not required to provide direct instruction to pupils or direct services to pupils (services such as those provided by pupil services employees defined below). Do not include the portion of a teacher's FTE representing any time released from the classroom to perform instruction preparation functions such as peer coaching, curriculum development, and department chairing (report fully as teachers). Do not include program specialists defined in *Education Code* Section 56368 (report as pupil services). The FTE of pupil services administrators associated with the supervision and evaluation of certificated employees that provide services directly to students should not be included in the administrative category (report as pupil services). Superintendents, business managers, and deputy, associate or assistant superintendents should not be reported if the governing board of the district has acted in conformity with *Education Code* sections 35028-35029 and 44069. In such cases the position does not require a credential and is deemed as classified.

Note: As used in this definition, certification means **any** form of credential, e.g., teaching, services, or administrative. An employee need not have an administrative credential to be reported as an administrator.

- B. Exempt Administrative - Report that portion of an administrative FTE which is funded from federal sources, e.g., Title 1 and VI of Elementary Secondary Education Act as amended by the Improving Americas Schools Act (PL 103-382), Federal Impact Aid (PL 874), Special Education (PL 94-142), Federal Vocational and Adult Education, etc.

Note: Restrictive language in *Education Code* Section 41403(a) and (b) for all practical matters excludes state categorical funding as a condition for exemption.

- C. Net Administrative - Enter the difference derived from subtracting line B from line A.
- D. Teachers - Enter the FTE of an employee of the district for the amount of time the employee holds a position requiring certification and performs duties requiring direct instruction of pupils in the school(s) of the district. A teacher's instructional preparation time will be counted as part of the teacher full-time equivalent, including, but not limited to, mentor teacher or department chairperson time. Substitute teachers may be counted only if the employee for whom they are substituting is not counted. "Teacher" should include, but should not be limited to, the following: teachers of special classes; teachers of exceptional children; teachers of physically handicapped minors; teachers of mentally retarded minors; instructional television teachers; learning disability group teachers; speech therapists; and teachers released from the classroom for a portion of the day to develop curriculum, act as mentor teachers, or serve as department chairpersons.
- E. Pupil Services - Enter the FTE of a district employee for the amount of time the employee is in a position requiring a standard services credential, health and development credential, or a librarian credential and provides direct services to pupils (e.g., counselors, welfare personnel, librarians, psychologists, nurses, etc.). Program specialists defined in *Education Code* Section 56368 should be reported as pupil services employees. The FTE for pupil services administrators that is spent in direct supervision or evaluation of an employee providing services directly to students should be included in the pupil services category. Proration may be necessary if only some of the individuals evaluated are pupil services employees.

Note: A portion of a certified employee's FTE may be assigned to the pupil services category without the employee holding a services credential. Certificated employees may be partially identified as pupil services by sole virtue of providing pupil services directly to students. Districts are cautioned, however, that adequate supporting documentation must be maintained in such prorations. The documentation should include duty statements demonstrating the provision of pupil services directly to students. If the duty statement does not provide a percentage breakdown of the duties, it will be necessary to secure an employee affidavit or maintain time accounting instruments to establish the portion of FTE associated with direct pupil services.

Districts are also cautioned that there may be credentialing requirements outside the scope of the administrator-teacher ratio laws that must be satisfied before an employee may legally perform specific functions. The appropriate services credential is required, however, when the employee's total FTE is categorized as pupil services.

Part II. Salaries

Record the sum total of annual base salaries (exclusive of benefits) for the administrative FTE reported on line A (e.g., one-half the annual salary for .5 FTE administrator). This information will be utilized to determine an average administrator salary in the event that a penalty must be levied.

The district superintendent must certify the completed R-2 report. The signed copy must be submitted to your county superintendent of schools by January 18, 2002. The county superintendent will forward the report to the California Department of Education, School Fiscal Services Division, 560 J Street, Suite 150, Sacramento, CA, 95814-2333.

EMPLOYEE CLASSIFICATION EXAMPLES

The hypothetical position descriptions included in this supplement were created to illustrate provisions of law that are commonly misinterpreted or that are the topic of frequent questions. Classification of similarly titled positions in your district will vary according to actual duties being performed by each individual employee. The general principles identified in these examples will, however, be helpful in the classification process of all employees. Therefore, it is suggested that the district staff review all the examples. If, after studying the samples, the district continues to have questions, additional assistance may be obtained by contacting Richard Zeiszler at (916) 324-4533 or by e-mail (rzeiszle@cde.ca.gov).

Teacher in Regular Education & Adult Evening Program

Bargaining Unit: Teacher
Salary Schedule: Teacher + Hourly
Credential: Teacher
Duties: Full-time regular education teacher in addition to 300 hours of adult education instruction.

Given the above duties, report this position as follows:

- 1.33 FTE Teacher

Rationale for above classification:

- The employee provides direct instruction to pupils.
- Additional service in adult education may be counted in addition to the employee's regular full-time assignment.

The FTE for adult education was determined by dividing the hours worked by the total hour's equivalent to a full-time adult education teacher (900 in this example).

Teaching Principal

Bargaining Unit: Management
Salary Schedule: Teacher with Stipend
Credential: Administrative and Teaching
Duties: Act as site administrator in addition to teaching full-time.

Given the above duties, report this position as follows:

- 1.00 FTE Teacher

Rationale for above classification:

No individual may be counted as more than one full-time equivalent unless the individual is employed on a part-time basis in adult education, driver education, or any additional or part-time teaching assignment, in addition to his or her regular full-time assignment.

Speech Therapist

Bargaining Unit: Teacher
Salary Schedule: Teacher
Credential: Teacher/Health Services
Duties: Serves individual children on a pullout basis.

Given the above duties, report this position as follows:

- 1.00 FTE Teacher

Rationale for above classification:

The employee provides direct instruction to pupils.

Mentor Teacher

Bargaining Unit: Teacher
Salary Schedule: Teacher
Credential: Teacher
Duties: Teacher released to perform in-service instruction for two periods (does not receive state mentor teacher funding).

Given the above duties, report this position as follows:

- 1.00 FTE Teacher

Rationale for above classification:

The time a teacher spends in an instructional preparation activity such as mentor teaching may be classified as teaching on Form R-2.

Staff Development Coordinator

Bargaining Unit: Teacher
Salary Schedule: Teacher with Stipend
Credential: Teacher and Administrative
Duties: Conducts in-service training full-time for district.

Given the above duties, report this position as follows:

- 1.00 FTE Administrator

Rationale for above classification:

The employee provides no direct instruction to pupils. The staff development time cannot, therefore, be considered as instructional preparation time performed by a teacher.

Resource Specialist

Bargaining Unit: Teacher
Salary Schedule: Teacher
Credential: Teacher Credential
Duties: 45 percent Conduct student evaluations (e.g., test students).

- 25 percent Develop curriculum.
- 25 percent Provide in-service for teachers.
- 5 percent Demonstration teaching.

Given the above duties, report this position as follows:

- .55 FTE Teacher
- .45 FTE Pupil Services Employee

Rationale for above classification:

- Pupil Services - When testing and evaluating students, a service is administered directly to the pupil. Services provided directly to a student qualify the employee for the pupil services classification. A proration of an employee's FTE into this category is appropriate even though the employee does not possess a services credential. An appropriate services credential is needed only if 100 percent of the employee's FTE is categorized as pupil services. The district must maintain adequate documentation to substantiate the proration (please see instructions for details).
- Teaching - Demonstration teaching involves the direct instruction of pupils and, therefore, qualifies the employee for the teaching classification. In-service and curriculum development performed by a teacher will be considered as instructional preparation and, therefore, as teaching.

Department Chairperson

Bargaining Unit: Teacher
Salary Schedule: Teacher
Credential: Teacher
Duties: Teacher, four periods out of a six-period day. Provided one period of release time in addition to the regular prep period.

Given the above duties, report this position as follows:

- 1.00 FTE Teacher

Rationale for above classification:

The employee directly instructs students. A teacher's instructional preparation time, such as department chairing, may be included within the teacher classification.

ADMINISTRATOR-TEACHER RATIO
COMPLIANCE ASSESSMENT
Step-by-Step Procedures

Step 1. Complete Form R-2.

2. Select the appropriate administrator-teacher ratio:

Unified Districts	=	0.08
Elementary Districts	=	0.09
High School Districts	=	0.07

3. Multiply the appropriate ratio from Step 2 by the teacher FTE reported on Line D of the Form R-2 to determine the administrator limit imposed by law (correct to two decimals, e.g., 7.22).
4. Subtract the administrator limit, calculated in Step 3, from the net administrative FTE reported on Line C of the Form R-2.
5. Round the excess administrator(s) FTE derived in Step 4 to the nearest whole number (e.g., 0.49 rounds to 0; 1.50 rounds to 2). If the result is zero or negative, the district is within the established ratio and need not proceed further. If the result is positive one (1) or greater, the district may incur a penalty for employing administrators in excess of the applicable ratio. Continue with Steps 6-11.
6. Obtain a copy of the district's 2000-01 Form J-201 (or Form 01 if the district is reporting using the Standardized Account Code Structure), Unaudited Actual Financial Report.
7. From the 2000-01 Unaudited Actual Financial Report, obtain: a) the district's total revenue and other financing sources (Column C of Form J-201 or Form 01, Section A.5., Total Revenues, plus Section D.1.a., Interfund Transfers In, plus Section D.2.a., Other Sources); and b) the total state revenue excluding lottery revenue (Column C of the Form J-201R or Form 01, accounts 8011 through 8029, plus Column C of Form J-201 or Form 01 Section A.3., Other State Revenues, less Column C, Form J-201R or Form 01 account 8560, state lottery revenue).
8. Divide the total state revenue, excluding lottery revenue (Step 7, item b), by the total district revenue and other financing sources (Step 7, item a), to obtain the percent of state revenue and other financing sources in total district revenue.
9. Calculate the district's average administrator salary by dividing total administrator salaries reported in Part II, Form R-2, by the administrative FTE reported in Part I, Line A, Form R-2.

10. Multiply the percent of state income of total district income, calculated in Step 8, by the district's average annual administrator salary calculated in Step 9. This product represents the State's share of an administrator's salary.
11. Multiply the State's share of the average administrator salary, calculated in Step 10, by the number of excess administrators calculated in Step 5. This product will be the district's penalty.

Penalties, if any, will be levied against the Second Principal Apportionment in June 2001.